

**Privacy Impact Assessment VISTA Legacy  
VHA VISTA R3 N6 FNC PIA**

**PRIVACY IMPACT ASSESSMENT 2008**

**INTRODUCTION:**

*Congress passed the E-Government Act of 2002 to encourage the use of Web-based Internet applications or other information technology by Government agencies, with the intention of enhancing access to government information and services and increasing the effectiveness, efficiency, and quality of government operations.*

*To combat public concerns regarding the disclosure of private information, the E-Government Act mandated various measures, including the requirement that Federal agencies conduct a Privacy Impact Assessment (PIA) for projects with information technology systems that collect, maintain, and/or disseminate "personally identifiable information" of the public. Personally identifiable information, or "personal information," is information that may be used to identify a specific person. Appendix A, "Applicable Legal and Regulatory Requirements" summarizes the applicable legal and regulatory requirements that are addressed by the PIA process.*

*Update regarding PIV projects: Federal Information Processing Standards Publication (FIPS PUB) 201 Personal Identity Verification (PIV) of Federal Employees and Contractors and subsequent OMB guidance explicitly require PIAs for PIV projects collecting any personal data, not just of the public.*

*Primary Privacy Impact Assessment objectives include:*

*o Ensure and promote the trust and confidence of Veterans and the general public.*

*o Ensure compliance with the eGov Act and other applicable privacy laws, regulations and policies, including the PIV regulations.*

*o Identify the risks and adverse effects of collecting, maintaining and disseminating personal information in electronic information systems.*

*o Evaluate and develop protections and alternative processes for handling information to mitigate potential privacy risks.*

*Additional important objectives include:*

*o Provide a mechanism for ensuring responsibility and accountability for privacy issues.*

*o Provide documented assurance that privacy, security and other vital data stewardship considerations are integrated into information technology systems, starting with the initial outlining of a project's objectives and data usage requirements and continuing through design, operation, maintenance and disposal.*

*o Ensure that decision-makers are provided the information required to make informed system design or procurement decisions, based on an understanding of privacy risk, and of options available for mitigating that risk.*

*o Greatly reduce the risk of needing to interrupt a program or service because privacy and other vital data stewardship considerations were not adequately addressed before the program or service was implemented.*

*o Promote awareness and understanding of privacy issues.*

*o Provide valuable documentation on the flow of personal information, and related privacy considerations and design decisions.*

*Completion of this PIA Form:*

*o Part I (Sections 1 and 2) of this form must be completed for all projects. Part I documents basic project information and establish whether a full PIA is required.*

*o This entire PIA Form (Parts I and II) must be completed/updated every year for all projects with information technology (IT) systems that collect, maintain, and/or disseminate "personally identifiable information" information that may be used to identify a specific person of the public, OR is a PIV project.*

*Important Note: While this form provides detailed instructions for completing a Privacy Impact Assessment for your project, support documents that provide additional guidance are available on the OCIS Portal (VA network access required).*

## **Part I. Project Identification and Determination of PIA Requirement**

### **1. PROJECT IDENTIFICATION:**

#### **1.1) Project Basic Information:**

*1.1.a) Project or Application Name:*

VISTA Legacy

*1.1.b) OMB Unique Project Identifier:*

029-00-01-11-01-1180-00

*1.1.c) Concise Project Description*

*Provide a concise description of the project. Your response will be automatically limited to approximately 200 words, and should provide a basic understanding of the project, and its most essential elements. (If applicable, use of personal data is to be described in Section 3.)*

The VistA Legacy System is designed to operate as a fully integrated clinical and administrative information source. It processes clinical information, information covered by the Privacy Act & HIPAA, PHI/ePHI, financial records, and all other data necessary to run a tertiary medical center. All clinical and most administrative functions within the physical confines of the VISN 6 utilize the VistA Alpha cluster to process clinical, financial, or administrative data. All external organizations which access a local Alpha node must be authenticated by access and verify codes or by domain transmission scripts for electronic mail. Examples of these organizations include VBA Regional Office, Form, HINQ, all VA facilities throughout the country sending electronic mail, Medical Cost Recovery vendors and transcription vendors. The native operating system of the Alpha cluster is VMS. Cache is a programming language that runs on top of VMS. Using the Cache environment, the VA's VistA program exists with all attendant menus, parameters, and data. Cache is the only application inhabiting the Alpha cluster.

*1.1.d) Additional Project Information (Optional)*

*The project description provided above should be a concise, stand-alone description of the project. Use this section to provide any important, supporting details.*

NONE

#### **1.2) Contact Information:**

<b>1.2.a) Person completing this document: Pamela A. Jackson, M.L.S., CSP</b>	
<b>Title: Information Security Officer (FNC ISO)</b>	
<b>Organization: Fayetteville, NC VAMC</b>	
<b>Telephone Number: 910-822-7070</b>	
<b>Email Address: Pamela.Jackson@va.gov</b>	
<b>1.2.b) Project Manager: Michael E. Lay</b>	
<b>Title: Region 3 Chief Information Officer (RCIO)</b>	
<b>Organization: VA OI&amp;T, Operations and Maintenance</b>	
<b>Telephone Number: 734-222-4333</b>	
<b>Email Address: Michael.Lay@va.gov</b>	
<b>1.2.c) Staff Contact Person: Kelly Wilson</b>	
<b>Title: VISTA System Manager</b>	
<b>Organization: Fayetteville, NC VAMC</b>	
<b>Telephone Number: 910-482-5254</b>	
<b>Email Address: Kelly.Wilson@va.gov</b>	

*ADDITIONAL INFORMATION: If appropriate, provide explanation for limited answers, such as the development stage of project.*

		<b>SECTION INCOMPLETE</b>
	x	<b>SECTION COMPLETED</b>
		I have completed and reviewed my responses in this section.
**	<b>NOTE:</b>	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		<b>Section Update Date</b>

**Section 1 Review:**

		<b>PRIVACY SERVICE SECTION REVIEW AND APPROVAL</b>
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		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	x	The Privacy Service has reviewed and approved the responses in this section.
**	<b>NOTE:</b>	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit
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		<b>Section Review Date:</b> February 27, 2008

PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)

Yvette H. Sanders (910-822-7019)

<b>2. DETERMINATION OF PIA REQUIREMENTS:</b>
<i>A privacy impact assessment (PIA) is required for all VA projects with IT systems that collect, maintain, and/or disseminate personally identifiable information (PII) of the public, not including information of Federal employees and others performing work for VA (such as contractors, interns, volunteers, etc.), unless it is a PIV project. All PIV projects collecting any PII must complete a PIA. PII is any representation of information that permits the identity of an individual to be reasonably inferred by either direct or indirect means. Direct references include: name, address, social security number, telephone number, email address, financial information, or other identifying number or code. Indirect references are any information by which an agency intends to identify specific individuals in conjunction with other data elements. Examples of indirect references include a combination of gender, race, birth date, geographic indicator and other descriptors.</i>
2.a) Will the project collect and/or maintain personally identifiable information in IT systems?
Yes
2. b) Is this a PIV project collecting PII, including from Federal employees, contractors, and others performing work for VA?
No
<b>If "YES" to either question then a PIA is required for this project. Complete the remaining questions on this form. If "NO" to both questions then no PIA is required for this project. Skip to section 13 and affirm.</b>
2.c) Has a previous PIA been completed within the last three years?
No
2.d) Has any changes been made to the system since last PIA?
No, this is the first PIA conducted at Fayetteville, NC VAMC.
ADDITIONAL INFORMATION: (Provide any necessary clarifying information or additional explanation for this section.)
None

		<b>SECTION INCOMPLETE</b>
	x	<b>SECTION COMPLETED</b>
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## Section 2 Review:

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PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)

Yvette H. Sanders (910-822-7019)

## Part II. Privacy Impact Assessment

### 3. PROJECT DESCRIPTION:

*The purpose of NIST SP 800-60 is to address recommending the types of information and information systems to be included in each category of potential security impact. Using NIST SP800-60, enter the information requested to describe the project.*

*3.a) Provide a concise description of why personal information is maintained for this project, such as determining eligibility for benefits or providing patient care.*

All information is necessary in order to provide congressionally mandated health care for veterans including but not limited to first name, last name, SSN, DOB, address, etc.

*3.b) What specific legal authorities authorize this project, and the associated collection, use, and/or retention of personal information?*

Title 38, United States Code, section 7301(a).

3.c) Identify, by selecting the appropriate range from the list below, the approximate number of individuals that (will) have their personal information stored in project systems.

1,000,000 – 9,999,999

3.d) Identify what stage the project/system is in: (1) Design/Planning, (2) Development/Implementation, (3) Operation/Maintenance, (4) Disposal, or (5) Mixed Stages.

Operation/Maintenance

3.e) Identify either the approximate date (MM/YYYY) the project/system will be operational (if in the design or development stage), or the approximate number of years that the project/system has been in operation.

27 years

ADDITIONAL INFORMATION: (Provide any necessary clarifying information or additional explanation for this section.)

		<b>SECTION INCOMPLETE</b>
	x	<b>SECTION COMPLETED</b>
		I have completed and reviewed my responses in this section.
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### Section 3 Review:

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### 4. SYSTEM OF RECORDS:

The Privacy Act of 1974 (Section 552a of Title 5 of the United States Code) and VA policy provide privacy protections for employee or customer information that VA or its suppliers maintain in a System of Records (SOR). A SOR is a file or application from which personal information is retrieved by an identifier (e.g. name, unique number or symbol). Data maintained in a SOR must be managed in accordance with the requirements of the Privacy Act and the specific provisions of the applicable SOR Notice. Each SOR Notice is to be published in the Federal Register. See VA Handbook 6300.5 "Procedures for Establishing & Managing Privacy Act Systems Of Records", for additional information regarding Systems of Records.

4.a) Will the project or application retrieve personal information on the basis of name, unique number, symbol, or other identifier assigned to the individual?

**If "No" then skip to section 5, 'Data Collection'.**

Yes

4.b) Are the project and/or system data maintained under one or more approved System(s) of Records?

**IF "No" then SKIP to question 4.c.**

Yes

4.b.1) For each applicable System of Records, list:

(1) The System of Records identifier (number),

79VA19

(2) The name of the System of Records, and

VistA - VA

(3) Provide the location where the specific applicable System of Records Notice(s) may be accessed (include the URL).

<http://vaww.vhaco.va.gov/privacy/SystemofRecords.htm>

**IMPORTANT: For each applicable System of Records Notice that is not accessible via a URL: (1) Provide a concise explanation of why the System of Records Notice is not accessible via a URL in the "Additional Information" field at the end of this section, and (2) Send a copy of the System of Records Notice(s) to the Privacy Service.**

4.b.2) Have you read, and will the application comply with, all data management practices in the System of Records Notice(s)?

Yes

4.b.3) Was the System(s) of Records created specifically for this project, or created for another project or system?

Created for this project

If created for another project or system, briefly identify the other project or system.

N/A

4.b.4) Does the System of Records Notice require modification?

**If "No" then skip to section 5, 'Data Collection'.**

Yes

4.b.5) Describe the required modifications.

Nationally mandated system patches

4.c) If the project and/or system data are not maintained under one or more approved System(s) of Records, select one of the following and provide a concise explanation.

Maintained under approved SOR

Explanation:

N/A

ADDITIONAL INFORMATION: (Provide any necessary clarifying information or additional explanation for this section.)

		SECTION INCOMPLETE
	X	SECTION COMPLETED
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#### Section 4 Review:

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PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)

Yvette H. Sanders (910-822-7019)

#### 5. DATA COLLECTION:

##### 5.1 Data Types and Data Uses



FIPS 199 establishes security categories for both information and information systems. The security categories are based on the potential impact on an organization should certain events occur which jeopardize the information and information systems needed by the organization to accomplish its assigned mission, protect its assets, fulfill its legal responsibilities, maintain its day-to-day functions, and protect individuals. Security categories are to be used in conjunction with vulnerability and threat information in assessing the risk to an organization. Identify the types of personal information collected and the intended use(s) of that data:

a) Select all applicable data types below. If the provided data types do not adequately describe a specific data collection, select the "Other Personal Information" field and provide a description of the information.

b) For each selected data type, concisely describe how that data will be used.

*Important Note: Please be specific. If different data types or data groups will be used for different purposes or multiple purposes, specify. For example: "Name and address information will be used to communicate with individuals about their benefits, while Name, Service, and Dependent's information will be used to determine which benefits individuals will be eligible to receive. Email address will be used to inform individuals about new services as they become available."*

Y	<b>Veteran's or Primary Subject's Personal Contact Information (name, address, telephone, etc.)</b>
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*Specifically identify the personal information collected, and describe the intended use of the information.*

The most common data types that are captured and accessed on a regular basis by authorized individuals are first and last name, middle initial, DOB, SSN, address and telephone. The patient health information falls into two classes: administrative and clinical. Clinical information is used to diagnose, prescribe treatment and follow clinically the patient through his/her health care encounters. Administrative data is used to identify the veteran (SSN), correspond to/from (name and address), to determine eligibility (patient administrative info + SSA and IRS data, and to bill, if applicable.

N	<b>Other Personal Information of the Veteran or Primary Subject</b>
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*Specifically identify the personal information collected, and describe the intended use of the information.*

Y	<b>Dependent Information</b>
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*Specifically identify the personal information collected, and describe the intended use of the information.*

Dependent's information will be used to determine which benefits individuals will be eligible to

receive. Next of kin information/ emergency contact information is collected from the veteran to use to contact other individuals in case of an emergency. In addition, insurance and employment information is available on the veteran and spouse for use in billing for care.

Y	<b>Service Information</b>
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*Specifically identify the personal information collected, and describe the intended use of the information.*

Military Service Information (Branch of Service, discharge data, discharge type, service connection rating, medical conditions related to military service, etc.) This information is collected to assess eligibility for VA healthcare benefits type of healthcare needed, etc

Y	<b>Medical Information</b>
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*Specifically identify the personal information collected, and describe the intended use of the information.*

VistA applications meet a wide range of health care data needs. The system operates in medical centers, ambulatory and community-based clinics, and thus collects a wide range of personal medical information for clinical diagnosis, treatment, evaluation, and patient care and referrals. Common types of personal medical information would include lab test results, prescriptions, allergies, medical diagnoses, vital signs, etc. The information is used to treat and care for the veteran patient. Clinical information from VA and DoD is used in the treatment of the vet

Y	<b>Criminal Record Information</b>
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*Specifically identify the personal information collected, and describe the intended use of the information.*

Per VHA Handbook 1000.2, VHA Fugitive Felon Program , dated December 2, 2004, The Veterans Education and Benefits Expansion Act (VEBEA) of 2001 requires that the Department of Veterans Affairs (VA) withhold specified benefits (including health care) from veterans and from dependents of veterans who are fugitive felons. The VEBEA requires VA, upon request, to furnish law enforcement personnel with the most current address of a veteran or dependent who is determined to be a fugitive felon. **NOTE: This assists law enforcement personnel in apprehending fugitive felons.** A Fugitive Felon Program (FFP) seeks to assist United States (U.S.) law enforcement agencies in locating and apprehending felons, including dangerous felons, who have evaded justice and represent a significant safety risk to American citizens. Pub. L. 107-103 mandates that the Secretary of Veterans Affairs comply with the section of the law concerning addresses and benefits of fugitive felons.

☒ Y

**Guardian Information**

*Specifically identify the personal information collected, and describe the intended use of the information.*

Next of kin, DNR instructions, health care proxy designations (Advanced Directives, Guardianship). This information is used in the notification process and as required for medical decisions and treatment.

☒ Y

**Education Information**

*Specifically identify the personal information collected, and describe the intended use of the information.*

Highest grade completed. Degree as applicable to Social and/or Personal History in treatment records, specifically in MH, C&P exams and registry claims.

☒ Y

**Rehabilitation Information**

*Specifically identify the personal information collected, and describe the intended use of the information.*

Treatment notes, progress notes, clinical assessments, clinical diagnosis information is collected. Used in follow-up treatment and as part of the medical history.

☒ Y

**Other Personal Information (specify):**

*The "Other Personal Information" field is intended to allow identification of collected personal information that does not fit the provided categories. If personal information is collected that does not fit one of the provided categories, specifically identify this information and describe the intended use of the information.*

**ADDITIONAL INFORMATION:** (Provide any necessary clarifying information or additional explanation for this section.)

Next-of-kin information and emergency contact information, such as name and telephone number, is collected from the veteran to use to contact in case of an emergency. In addition, insurance and employment information is available on the veteran for use in billing for care.

		<b>SECTION INCOMPLETE</b>
	X	<b>SECTION COMPLETED</b>
		I have completed and reviewed my responses in this section.
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#### Section 5.1 Review:

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PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)

Yvette H. Sanders (910-822-7019)

#### 5.2 Data Sources

*Identify the source(s) of the collected information.*

*a) Select all applicable data source categories provided below.*

*b) For each category selected:*

*i) Specifically identify the source(s) - identify each specific organization, agency or other entity that is a source of personal information. ii) Provide a concise description of why information is collected from that source(s). iii) Provide any required additional clarifying information.*

*Your responses should clearly identify each source of personal information, and explain why information is obtained from each identified source. (Important Note: This section addresses sources of personal information; Section 6.1, "User Access and Data Sharing" addresses sharing of collected personal information.)*

*Note: PIV projects should use the "Other Source(s)" data source.*

☐ Y **Veteran Source**

*Provide a concise description of why information is collected from Veterans. Provide any required additional, clarifying information.*

Data used to identify the veteran, determine eligibility for care, schedule treatment and manage care.

☐ N **Public Source(s)**

*i) Specifically identify the Public Source(s) - identify the specific organization(s) or other entity(ies) that supply personal information. ii) Provide a concise description of why information is collected from each identified source. iii) Provide any required additional, clarifying information.*

☐ Y **VA Files and Databases**

*i) Specifically identify each VA File and/or Database that is a source of personal information. ii) Provide a concise description of why information is collected from each identified source. iii) Provide any required additional, clarifying information.*

Patient Treatment File is used to store and make inquiries of PII about veteran patient admissions, previous clinical records, clinical information, drug information as needed to provide treatment and reimbursement. VIS, HINQ, VERA, KLF, used to verify service dates, eligibility, SSN, etc.

☐ Y **Other Federal Agency Source(s)**

*i) Specifically identify each Federal Agency that is a source of personal information. ii) Provide a concise description of why information is collected from each identified source. iii) Provide any required additional, clarifying information.*

IRS, SSA, DoD data used for income verification to determine insurance, employability if third party collection is possible. Also used for determining eligibility for care; SSA for certification of death.

☐ N **State Agency Source(s)**

i) Specifically identify each State Agency that is a source of personal information. ii) Provide a concise description of why information is collected from each identified source. iii) Provide any required additional, clarifying information.

Y

Local Agency Source(s)

i) Specifically identify each Local Agency (Government agency other than a Federal or State agency) that is a source of personal information. ii) Provide a concise description of why information is collected from each identified source. iii) Provide any required additional, clarifying information.

County Coroner offices for date of death, death certificate and circumstances.

N

Other Source(s)

i) If the provided Data Source categories do not adequately describe a source of personal information, specifically identify and describe each additional source of personal information. ii) For each identified data source, provide a concise description of why information is collected from that source. iii) Provide any required additional, clarifying information.

**ADDITIONAL INFORMATION:** (Provide any necessary clarifying information or additional explanation for this section.)

		<b>SECTION INCOMPLETE</b>
	X	<b>SECTION COMPLETED</b>
		I have completed and reviewed my responses in this section.
**	<b>NOTE:</b>	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
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<b>5.3 Collection Methods</b>		
<i>Identify and describe how personal information is collected:</i>		
a) Select all applicable collection methods below. If the provided collection methods do not adequately describe a specific data collection, select the "Other Collection Method" field and provide a description of the collection method. b) For each collection method selected, briefly describe the collection method, and provide additional information as indicated.		
N	<b>Web Forms:</b>	Information collected on Web Forms and sent electronically over the Internet to project systems.
<i>Identify the URL(s) of each Web site(s) from which information will be submitted, and the URL(s) of the associated privacy statement. (Note: This question only applies to Web forms that are submitted online. Forms that are accessed online, printed and then mailed or faxed are considered "Paper Forms.")</i>		
https://www.1010EZ.med.va.gov/sec/vah/1010EZ.		
Y	<b>Paper Forms:</b>	Information collected on Paper Forms and submitted personally, submitted via Postal Mail and/or submitted via Fax Machine.
<i>Identify and/or describe the paper forms by which data is collected. If applicable, identify standard VA forms by form number.</i>		
This site from which this form is accessed ( <a href="http://www.va.gov/">http://www.va.gov/</a> ) references the VA Privacy and Security Site ( <a href="http://www.va.gov/privacy">http://www.va.gov/privacy</a> ), as well as the disclaimer site ( <a href="http://www.va.gov/disclaim.htm">http://www.va.gov/disclaim.htm</a> ) and the VA FOIA site ( <a href="http://vaww.va.gov/OIT/CIO/FOIA/default.asp">http://vaww.va.gov/OIT/CIO/FOIA/default.asp</a> ).		
N	<b>Electronic File Transfer:</b>	Information stored on one computer/system (not entered via a Web Form) and transferred electronically to project IT systems.

*Describe the Electronic File Transfers used to collect information into project systems. (Note: This section addresses only data collection – how information stored in project systems is acquired. Sharing of information stored in project systems and data backups are addressed in subsequent sections.)*

N

**Computer Transfer Device:**

Information that is entered and/or stored on one computer/ system and then transferred to project IT systems via an object or device that is used to store data, such as a CD-ROM, floppy disk or tape.

*Describe the type of computer transfer device, and the process used to collect information.*

Y

**Telephone Contact:**

Information is collected via telephone.

*Describe the process through which information is collected via telephone contacts.*

Veteran answers the questions posed by caller over the phone to collect data to complete VA Form 1010EZ and patients are provided with a consent form to sign and return. Veteran is informed by caller of Privacy Act Information Notice.

**Privacy Act Information:** VA is asking you to provide the information on this form under 38 U.S.C. Sections 1705, 1710, 1712, and 1722 in order for VA to determine your eligibility for medical benefits. Information you supply may be verified through a computer-matching program. VA may disclose the information that you put on the form as permitted by law. VA may make a "routine use" disclosure of the information as outlined in the Privacy Act systems of records notices and in accordance with the VHA Notice of Privacy Practices. You do not have to provide the information to VA, but if you don't, VA may be unable to process your request and serve your medical needs. Failure to furnish the information will not have any effect on any other benefits to which you may be entitled. If you provide VA your Social Security Number, VA will use it to administer your VA benefits. VA may also use this information to identify veterans and persons claiming or receiving VA benefits and their records, and for other purposes authorized or required by law

N

**Other Collection Method:**

Information is collected through a method other than those listed above.

*If the provided collection method categories do not adequately describe a specific data collection, select the "Other Collection Method" field and specifically identify and describe the process used to collect information.*

**ADDITIONAL INFORMATION:** (Provide any necessary clarifying information or additional explanation for this section.)



		<b>SECTION INCOMPLETE</b>
	X	<b>SECTION COMPLETED</b>
		I have completed and reviewed my responses in this section.
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		and then select "Yes" and submit again.
		<b>Section Review Date:</b> February 27, 2008

PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)

Yvette H. Sanders (910-822-7019)

### 5.4 Notice

*The Privacy Act of 1974 and VA policy requires that certain disclosures be made to data subjects when information in identifiable form is collected from them. The following questions are directed at notice to the individual of the scope of information collected, the right to consent to uses of said information, and the right to decline to provide information.*

5.4.a) Is personally identifiable information collected directly from individual members of the public and maintained in the project's IT systems?

Yes

**Note: If you have selected NO above, then SKIP to Section 5.5, 'Consent'.**

5.4.b) Is the data collection mandatory or voluntary?

Mandatory

5.4.c) How are the individuals involved in the information collection notified of the Privacy Policy and whether provision of the information is mandatory or voluntary?

VA Form 1010EZ; VA Notice of Privacy practices mailed and/or provided locally upon request.

**5.4.d) Is the data collection new or ongoing?**

Ongoing

**5.4.e.1) If personally identifiable information is collected online, is a privacy notice provided that includes the following elements? (Select all applicable boxes.)**

No	<b>Not applicable</b>
No	<b>Privacy notice is provided on each page of the application.</b>
Yes	<b>A link to the VA Website Privacy Policy is provided.</b>
Yes	<b>Proximity and Timing: the notice is provided at the time and point of data collection.</b>
Yes	<b>Purpose: notice describes the principal purpose(s) for which the information will be used.</b>
Yes	<b>Authority: notice specifies the legal authority that allows the information to be collected.</b>
Yes	<b>Conditions: notice specifies if providing information is voluntary, and effects, if any, of not providing it.</b>
Yes	<b>Disclosures: notice specifies routine use(s) that may be made of the information.</b>

**5.4.e.2) If necessary, provide an explanation on privacy notices for your project:**

This issue is under review and links to all web sites in the future will include a link to the VA Privacy Policy.

**5.4.f) For each type of collection method used (identified in Section 5.3, "Collection Method"), explain:**

a) What the subjects will be told about the information collection. b) How this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). c) How a privacy notice is provided.

**Note: if PII is transferred from other projects, explain any agreements or understandings regarding notification of subjects.**

Y

**Web Forms:**

**Explain:**

a) What the subjects will be told about the information collection. b) How this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). c) How a privacy notice is provided.

Patients are allowed to download VA Form 1010 which contains privacy information notice concerning each of the data fields they are required to enter. The privacy Act Information Notice is on the form.

**Privacy Act Information:** VA is asking you to provide the information on this form under 38 U.S.C. Sections 1705, 1710, 1712, and 1722 in order for VA to determine your eligibility for medical benefits. Information you supply may be verified through a computer-matching program. VA may disclose the information that you put on the form as permitted by law. VA may make a "routine use" disclosure of the information as outlined in the Privacy Act systems of records notices and in accordance with the VHA Notice of Privacy Practices. You do not have to provide the information to VA, but if you don't,

VA may be unable to process your request and serve your medical needs. Failure to furnish the information will not have any affect on any other benefits to which you may be entitled. If you provide VA your Social Security Number, VA will use it to administer your VA benefits. VA may also use this information to identify veterans and persons claiming or receiving VA benefits and their records, and for other purposes authorized or required by law

Y

**Paper Forms:**

*Explain:*

*a) What the subjects will be told about the information collection. b) How this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). c) How a privacy notice is provided.*

Patients completed VA Form 1010 which contains privacy information notice concerning each of the data fields. The Privacy Act Information Notice is on the form.

**Privacy Act Information:** VA is asking you to provide the information on this form under 38 U.S.C. Sections 1705, 1710, 1712, and 1722 in order for VA to determine your eligibility for medical benefits. Information you supply may be verified through a computer-matching program. VA may disclose the information that you put on the form as permitted by law. VA may make a "routine use" disclosure of the information as outlined in the Privacy Act systems of records notices and in accordance with the VHA Notice of Privacy Practices. You do not have to provide the information to VA, but if you don't, VA may be unable to process your request and serve your medical needs. Failure to furnish the information will not have any affect on any other benefits to which you may be entitled. If you provide VA your Social Security Number, VA will use it to administer your VA benefits. VA may also use this information to identify veterans and persons claiming or receiving VA benefits and their records, and for other purposes authorized or required by law

N

**Electronic File Transfer:**

*For electronic transfers of information, where this system is receiving the information from another system and is not collected from the primary information source, please explain what agreements are in place that govern the responsibilities of the system collecting information from the primary information source to notify subjects regarding:*

*a) What they will be told about the information collection? b) How the message will be conveyed (e.g. written notice, electronic notice if web-based collection, etc.)? c)How a privacy notice is provided?*

N

**Computer Transfer Device:**

*For electronic transfers of information, where this system is receiving the information from another system and is not collected from the primary information source, please explain what agreements are in place that govern the responsibilities of the system collecting information from the primary information source to notify subjects regarding:*

*a) What they will be told about the information collection? b) How the message will be conveyed (e.g. written notice, electronic notice if web-based collection, etc.)? c)How a privacy notice is provided?*

Y

**Telephone:**

Information is obtained over the telephone interview and patients are provided a consent form to sign and return. Veteran is informed by caller of Privacy Act Information Notice.

**Privacy Act Information:** VA is asking you to provide the information on this form under 38 U.S.C. Sections 1705, 1710, 1712, and 1722 in order for VA to determine your eligibility for medical benefits. Information you supply may be verified through a computer-matching program. VA may disclose the information that you put on the form as permitted by law. VA may make a "routine use" disclosure of the information as outlined in the Privacy Act systems of records notices and in accordance with the VHA Notice of Privacy Practices. You do not have to provide the information to VA, but if you don't, VA may be unable to process your request and serve your medical needs. Failure to furnish the information will not have any effect on any other benefits to which you may be entitled. If you provide VA your Social Security Number, VA will use it to administer your VA benefits. VA may also use this information to identify veterans and persons claiming or receiving VA benefits and their records, and for other purposes authorized or required by law

**Explain:**

*a) What the subjects will be told about the information collection. b) How this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). c) How a privacy notice is provided.*

N

**Other Method:****Explain:**

*a) What the subjects will be told about the information collection. b) How this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). c) How a privacy notice is provided.*

**ADDITIONAL INFORMATION:** (Provide any necessary clarifying information or additional explanation for this section.)

		<b>SECTION INCOMPLETE</b>
	X	<b>SECTION COMPLETED</b>
		I have completed and reviewed my responses in this section.
**	<b>NOTE:</b>	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		<b>Section Update Date</b>

**Section 5.4 Review:**

		<b>PRIVACY SERVICE SECTION REVIEW AND APPROVAL</b>
		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	x	The Privacy Service has reviewed and approved the responses in this section.
**	<b>NOTE:</b>	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit
		and then select "Yes" and submit again.
		<b>Section Review Date:</b> February 27, 2008

PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)

Yvette H. Sanders (910-822-7019)

<b>5.5 Consent For Secondary Use of PII:</b>	
<i>The Privacy Act and VA policy require that personally identifiable information only be used for the purpose(s) for which it was collected, unless consent (opt-in) is granted. Individuals must be provided an opportunity to provide consent for any secondary use of information, such as use of collected information for marketing.</i>	
5.5.a) Will personally identifiable information be used for any secondary purpose?	
<b>Note: If you have selected No above, then SKIP to question 5.6, "Data Quality."</b>	
No	
5.5.b) Describe and justify any secondary uses of personal information.	
5.5.c) For each collection method identified in question 5.3, "Collection Method," describe:	
1) The opportunities individuals have to decline to provide information, for instances where providing information is voluntary. 2) The opportunities individuals have to grant consent for particular uses of the information. 3) How individuals may grant consent.	
Some examples of consent methods are: (1) Approved OMB consent forms and (2) VA Consent Form (VA Form 1010EZ). Provide justification if no method of consent is provided.	
y/n?	<b>Web Forms:</b>
Describe:	
1) The opportunities individuals have to decline to provide information, for instances where providing information is voluntary. 2) The opportunities individuals have to grant consent for particular uses of the information. 3) How individuals may grant consent.	
y/n?	<b>Paper Forms:</b>

*Describe:*

*1) The opportunities individuals have to decline to provide information, for instances where providing information is voluntary. 2) The opportunities individuals have to grant consent for particular uses of the information. 3) How individuals may grant consent.*

y/n? **Electronic File Transfer:**

*For electronic transfers of information, where this system is receiving the information from another system and is not collected from the primary information source, please explain what agreements are in place that govern the responsibilities of the system collecting information from the primary information source to provide the following:*

*a) The opportunities individuals have to decline to provide information, for instances where providing information is voluntary. b) The opportunities individuals have to grant consent for particular uses of the information. c) How individuals may grant consent.*

y/n? **Computer Transfer Device:**

*For electronic transfers of information, where this system is receiving the information from another system and is not collected from the primary information source, please explain what agreements are in place that govern the responsibilities of the system collecting information from the primary information source to provide the following:*

*a) The opportunities individuals have to decline to provide information, for instances where providing information is voluntary. b) The opportunities individuals have to grant consent for particular uses of the information. c) How individuals may grant consent.*

y/n? **Telephone Contact Media:**

*Describe:*

*1) The opportunities individuals have to decline to provide information, for instances where providing information is voluntary. 2) The opportunities individuals have to grant consent for particular uses of the information. 3) How individuals may grant consent.*

y/n? **Other Media**

*Describe:*

*1) The opportunities individuals have to decline to provide information, for instances where providing information is voluntary. 2) The opportunities individuals have to grant consent for particular uses of the information. 3) How individuals may grant consent.*

**ADDITIONAL INFORMATION:** (Provide any necessary clarifying information or additional explanation for this section.)

		<b>SECTION INCOMPLETE</b>
		<b>SECTION COMPLETED</b>
		I have completed and reviewed my responses in this section.
**	<b>NOTE:</b>	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		<b>Section Update Date</b>

#### Section 5.5 Review:

		<b>PRIVACY SERVICE SECTION REVIEW AND APPROVAL</b>
		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	x	The Privacy Service has reviewed and approved the responses in this section.
**	<b>NOTE:</b>	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit
		and then select "Yes" and submit again.
		<b>Section Review Date:</b> February 27, 2008

**PRIVACY SERVICE COMMENTS:** (Include reviewers Name and Contact)

Yvette H. Sanders (910-822-7019)

#### 5.6 Data Quality

**5.6.a) Explain how collected data are limited to required elements:**

Data is collected electronically based on the automation of VA Forms and clinical procedures.

**5.6.b) How is data checked for completeness?**

Data is reviewed by staff and compared to paper forms. Various audits such as medical record audit, compliance audits in MCCR, etc. are also conducted. Also at patient registration data is also verified

**5.6.c) What steps or procedures are taken to ensure the data are current and not out of date?**

Clinical and admin data is updated with each application for care.

5.6.d) How is new data verified for relevance, authenticity and accuracy?

New data is compared with printed form or via patient verification.

**ADDITIONAL INFORMATION:** (Provide any necessary clarifying information or additional explanation for this section.)

		<b>SECTION INCOMPLETE</b>
	X	<b>SECTION COMPLETED</b>
		I have completed and reviewed my responses in this section.
**	<b>NOTE:</b>	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		<b>Section Update Date</b>

**Section 5.6 Review:**

		<b>PRIVACY SERVICE SECTION REVIEW AND APPROVAL</b>
		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	x	The Privacy Service has reviewed and approved the responses in this section.
**	<b>NOTE:</b>	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit
		and then select "Yes" and submit again.
		<b>Section Review Date:</b> February 27, 2008

**PRIVACY SERVICE COMMENTS:** (Include reviewers Name and Contact)

Yvette H. Sanders (910-822-7019)

**6. Use and Disclosure**

**6.1 User Access and Data Sharing**

*Identify the individuals and organizations that have access to system data.*

*--> Individuals - Access granted to individuals should be limited to the data needed to perform their assigned duties. Individuals with access to personal information stored in project system must be identified, and documented assurance must be provided that appropriate policies and procedures are in place to prevent as well as detect unauthorized access and browsing.*

*--> Other Agencies – Any Federal, State or local agencies that have authorized access to*



collected personal information must be identified, and documented assurance must be provided that appropriate policies and procedures are in place to protect personal information.

--> Other Systems – Information systems of other programs or projects that interface with the information system(s) of this project must be identified and the transferred data must be defined. Also, the controls that are in place to ensure that only the defined data are transmitted must be defined.

6.1.a) Identify all individuals and organizations that will have access to collected information. Select all applicable items below.

☒ **System Users**

☒ **System Owner, Project Manager**

☒ **System Administrator**

☒ **Contractor**

If contractors to VA have access to the system, describe their role and the extent of access that is granted to them. Also, identify the contract(s) that they operate under.

Contractors perform transcription duties, EPRP, billing duties for Revenue Office and remote repair/support of hospital/IT systems. Access is granted according to functions and or duties assigned. All contractors with access to information or information systems are required to complete the VA Privacy Training and Cyber Security Awareness Training annually and sign the National Rules of Behavior. Each contract has an assigned Service/Service Line VA COTR (contract technical representative) to ensure the security and privacy requirements of the contract are met such as a Business Associate Agreement and etc. Contractors have varied degrees of access based on their job function, background investigation and level of security, as is applicable to VA employees. Contractors with access to VA information Systems must be routed thru the Facility Chief Information Officer and the Information Security Officer prior to solicitation/award for concurrence. The Privacy Officer reviews the contract to ensure it is in compliance with Privacy Requirements such as but not limited to: Data Transfer Agreements, BAA, and etc. VA contract requirements are outlined in OA&MM IL 90-01-6 and are addressed in VA Handbook 6500, Information Security Program, dated September 18, 2007.

☒ **Internal Sharing: Veteran Organization**

If information is shared internally, with other VA organizations identify the organization(s). For each organization, identify the information that is shared and for what purpose.

VBA/Regional Office: treatment and demographic for benefits determination. Regional Council: Tort Claims, legal processes.

N

**Other Veteran Organization**

*If information is shared with a Veteran organization other than VA, identify the organization(s). For each organization, identify the information that is shared and for what purpose.*

Y

**Other Federal Government Agency**

There is certain VA patient data that is shared with DoD through the information exchange program. In addition, certain clinical data is shared with CDC as is certain data shared with HHS and SSA..

*If information is shared with another Federal government agency(ies), identify the agency(ies). For each organization, identify the information that is shared and for what purpose.*

Congressional inquiries accompanied by patient authorization; various information including appointment dates, treatment, medical documentation, bills, co-pays

Y

**State Government Agency**

State Veterans Home

*If information is shared with a State government agency(ies), identify the agency(ies). For each organization, identify the information that is shared and for what purpose.*

State Veteran Nursing Home provides long term care to veterans. These veterans may also be eligible to receive medical care: (hospitalization/medication/outpatient care) from the VA which would require an interchange of medical information between the two facilities for the provision of care. A signed consent form by the veteran is required prior to release of information from the VA to the State Veteran Nursing Home.

Y

**Local Government Agency**

*If information is shared with a local government agency(ies), identify the agency(ies). For each organization, identify the information that is shared and for what purpose.*

Coroner's Office for completion of death certificates, department of transportation for handicap verification, dept of family services, CDC.

Y

**Other Project/ System**

*If information is shared with other projects or systems:*

*1) Identify the other projects and/or systems, and briefly describe the data sharing. 2) For each project and/or system with which information will be shared, identify the information that will be shared with that project or system. 3) For each project and/or system with which information will be shared, describe why information is shared. 4) For each project and/or system with which information will be shared, describe who will be responsible for protecting the privacy rights of the*

individuals whose data will be shared across this interface.

N

Other User(s)

*If information is shared with persons or organization(s) that are not described by the categories provided, use this field to identify and describe what other persons or organization(s) have access to personal information stored on project systems. Also, briefly describe the data sharing.*

6.1.a.1) Describe here who has access to personal information maintained in project's IT systems:

No

6.1.b) How is access to the data determined?

No

6.1.c) Are criteria, procedures, controls, and responsibilities regarding access documented? If so, identify the documents.

No

6.1.d) Will users have access to all data on the project systems or will user access be restricted? Explain.

No

6.1.e) What controls are in place to prevent the misuse (e.g. unauthorized browsing) of data by those having access? (Please list processes and training materials that specifically relate to unauthorized browsing)

No

6.1.f) Is personal information shared (is access provided to anyone other than the system users, system owner, Project Manager, System Administrator)? (Yes/No)

No

**Note: If you have selected No above, then SKIP to question 6.2, "Access to Records and Requests for Corrections".**

6.1.g) Identify the measures taken to protect the privacy rights of the individuals whose data will be shared.

6.1.h) Identify who is responsible, once personal information leaves your project's IT system(s), for ensuring that the information is protected.

6.1.i) Describe how personal information that is shared is transmitted or disclosed.

6.1.j) Is a Memorandum of Understanding (MOU), contract, or any other agreement in place with all external organizations with whom information is shared, and does the agreement reflect the

scope of the information currently shared? If an MOU is not in place, is the sharing covered by a routine use in the System of Records Notice? If not, explain the steps being taken to address this omission.

6.1.k) How is the shared information secured by the recipient?

6.1.l) What type of training is required for users from agencies outside VA prior to receiving access to the information?

**ADDITIONAL INFORMATION:** (Provide any necessary clarifying information or additional explanation for this section.)

		<b>SECTION INCOMPLETE</b>
	X	<b>SECTION COMPLETED</b>
		I have completed and reviewed my responses in this section.
**	<b>NOTE:</b>	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		<b>Section Update Date</b>

#### Section 6.1 Review:

		<b>PRIVACY SERVICE SECTION REVIEW AND APPROVAL</b>
		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	x	The Privacy Service has reviewed and approved the responses in this section.
**	<b>NOTE:</b>	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit
		and then select "Yes" and submit again.
		<b>Section Review Date:</b> February 27, 2008

**PRIVACY SERVICE COMMENTS:** (Include reviewers Name and Contact)

Yvette H. Sanders (910-822-7019)

#### 6.2 Access to Records and Requests for Corrections

*The Privacy Act and VA policy provide certain rights and mechanisms by which individuals may*

request access to and amendment of information relating to them that is retained in a System of Records.

6.2.a) How can individuals view instructions for accessing or amending data related to them that is maintained by VA? (Select all applicable options below.)

No	The application will provide a link that leads to their information.
No	The application will provide, via link or where data is collected, written instructions on how to access/amend their information.
Yes	The application will provide a phone number of a VA representative who will provide instructions.
Yes	The application will use other method (explain below).
No	The application is exempt from needing to provide access.

6.2.b) What are the procedures that allow individuals to gain access to their own information?

Individuals may submit a written request by mail or may visit the ROI office at the facility where they receive their care.

6.2.c) What are the procedures for correcting erroneous information?

Same as noted above. A Written request form the individual initiates the review process that involves HIMs, Privacy Officer, Provider to review and correct the erroneous information.

6.2.d) If no redress is provided, are alternatives available?

Yes

6.2.e) Provide here any additional explanation; if exempt, explain why the application is exempt from providing access and amendment.

ADDITIONAL INFORMATION: (Provide any necessary clarifying information or additional explanation for this section.)

		<b>SECTION INCOMPLETE</b>
	X	<b>SECTION COMPLETED</b>
		I have completed and reviewed my responses in this section.
**	<b>NOTE:</b>	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		<b>Section Update Date</b>

#### Section 6.2 Review:

		<b>PRIVACY SERVICE SECTION REVIEW AND APPROVAL</b>
		The Privacy Service has not reviewed this section.

		The Privacy Service has reviewed this section. Please make the modifications described below.
	x	The Privacy Service has reviewed and approved the responses in this section.
**	<b>NOTE:</b>	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit
		and then select "Yes" and submit again.
		<b>Section Review Date:</b> February 27, 2008

PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)

Yvette H. Sanders (910-822-7019)

<p><b>7 Retention and Disposal</b></p> <p><i>By completing this section, you provide documented assurance that proper data retention and disposal practices are in place.</i></p> <p><i>The "Retention and disposal" section of the applicable System of Records Notice(s) often provides appropriate and sufficiently detailed documented data retention and disposal practices specific to your project.</i></p> <table border="1"> <tr> <td>VA HBK 6300.1 Records Management Procedures explains the Records Control Schedule procedures.</td> </tr> <tr> <td><b>System of Records Notices may be accessed via:</b></td> </tr> <tr> <td><a href="http://vaww.vhaco.va.gov/privacy/SystemofRecords.htm">http://vaww.vhaco.va.gov/privacy/SystemofRecords.htm</a></td> </tr> <tr> <td>or</td> </tr> <tr> <td><a href="http://vaww.va.gov/foia/err/enhanced/privacy_act/privacy_act.html">http://vaww.va.gov/foia/err/enhanced/privacy_act/privacy_act.html</a></td> </tr> <tr> <td>For VHA projects, VHA Handbook 1907.1 (Section 6j) and VHA Records Control Schedule 10-1 provide more general guidance.</td> </tr> <tr> <td><b>VHA Handbook 1907.1 may be accessed at:</b></td> </tr> <tr> <td><a href="http://www1.va.gov/vhapublications/ViewPublication.asp?pub_ID=434">http://www1.va.gov/vhapublications/ViewPublication.asp?pub_ID=434</a></td> </tr> <tr> <td>For VBA projects, Records Control Schedule (RCS) VB-1 provides more general guidance. VBA Records Control Schedule (RCS) VB-1 may be accessed via the URL listed below.</td> </tr> <tr> <td>Start by looking at the <a href="http://www.warms.vba.va.gov/20rcs.html">http://www.warms.vba.va.gov/20rcs.html</a></td> </tr> </table> <p><b>7.a) What is the data retention period? Given the purpose of retaining the information, explain why the information is needed for the indicated period.</b></p> <p>Clinical information is retained IAW VA Records Control Schedule 10-1. Demographic information is updated as applications for care are submitted and retained IAW VA RCS 10-1.</p> <p><b>7.b) What are the procedures for eliminating data at the end of the retention period?</b></p> <p>Electronic Final Version of Patient Medical Record is destroyed/deleted 75 years after the last episode of patient care as instructed in VA RCS 10-1.</p> <p><b>7.c) Where are procedures documented?</b></p> <p>VA Handbook 6300; RCS 10-1</p>	VA HBK 6300.1 Records Management Procedures explains the Records Control Schedule procedures.	<b>System of Records Notices may be accessed via:</b>	<a href="http://vaww.vhaco.va.gov/privacy/SystemofRecords.htm">http://vaww.vhaco.va.gov/privacy/SystemofRecords.htm</a>	or	<a href="http://vaww.va.gov/foia/err/enhanced/privacy_act/privacy_act.html">http://vaww.va.gov/foia/err/enhanced/privacy_act/privacy_act.html</a>	For VHA projects, VHA Handbook 1907.1 (Section 6j) and VHA Records Control Schedule 10-1 provide more general guidance.	<b>VHA Handbook 1907.1 may be accessed at:</b>	<a href="http://www1.va.gov/vhapublications/ViewPublication.asp?pub_ID=434">http://www1.va.gov/vhapublications/ViewPublication.asp?pub_ID=434</a>	For VBA projects, Records Control Schedule (RCS) VB-1 provides more general guidance. VBA Records Control Schedule (RCS) VB-1 may be accessed via the URL listed below.	Start by looking at the <a href="http://www.warms.vba.va.gov/20rcs.html">http://www.warms.vba.va.gov/20rcs.html</a>
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or										
<a href="http://vaww.va.gov/foia/err/enhanced/privacy_act/privacy_act.html">http://vaww.va.gov/foia/err/enhanced/privacy_act/privacy_act.html</a>										
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Start by looking at the <a href="http://www.warms.vba.va.gov/20rcs.html">http://www.warms.vba.va.gov/20rcs.html</a>										

7.d) How are data retention procedures enforced?

VA RCS 10-1

7.e) If applicable, has the retention schedule been approved by the National Archives and Records Administration (NARA)?

Yes

**ADDITIONAL INFORMATION:** (Provide any necessary clarifying information or additional explanation for this section.)

		<b>SECTION INCOMPLETE</b>
	X	<b>SECTION COMPLETED</b>
		I have completed and reviewed my responses in this section.
**	<b>NOTE:</b>	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		<b>Section Update Date</b>

#### Section 7 Review:

		<b>PRIVACY SERVICE SECTION REVIEW AND APPROVAL</b>
		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	x	The Privacy Service has reviewed and approved the responses in this section.
**	<b>NOTE:</b>	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit
		and then select "Yes" and submit again.
		<b>Section Review Date:</b> February 27, 2008

**PRIVACY SERVICE COMMENTS:** (Include reviewers Name and Contact)

Yvette H. Sanders (910-822-7019)

#### 8 SECURITY

OMB Guidance for Implementing the Privacy Provisions of the E-Government Act of 2002, (OMB M-03-22) specifies that privacy impact assessments must address how collected information will be secured.

##### 8.1 General Security Measures

**8.1.a) Per OMB guidance, citing requirements of the Federal Information Security Management Act, address the following items (select all applicable boxes.):**

Yes	The project is following IT security requirements and procedures required by federal law and policy to ensure that information is appropriately secured.
Yes	The project has conducted a risk assessment, identified appropriate security controls to protect against that risk, and implemented those controls.
Yes	Security monitoring, testing, and evaluating are conducted on a regular basis to ensure that controls continue to work properly, safeguarding the information.

**8.1.b) Describe the security monitoring, testing, and evaluating that is conducted on a regular basis:**

VISTA System security controls are reviewed/tested at least annually and results are documented in the SMART/FISMA Database to ensure all security requirements are in compliance. Deficiencies will be identified and their remediation will be tracked in the SMART/FISMA Database. The VISTA System goes thru Certification and Accreditation every three years, which consist of updated Risk Assessment, System Security Plan, Configuration Management Plan, Privacy Impact Assessment, Information Technology Contingency/Disaster/Recovery Plan, Security Controls Checklist and independent security control assessment team site visit to determine if security control are implemented as prescribed by the VA OI&T requirements. The VISTA System was granted its ATO (Authority to Operate) in 2005 which means it was in compliance with required security controls.

The available VISTA Sytem Audits are: Sign-on which logs all access to the system. The audit is performed automatically; Failed Access Attempts which logs all failed sign-on attempts. This audit must be initiated to collect data; Programmer Mode- Logs all instances of use of the Programmer Mode option. This audit is performed automatically; Option- can log instances of use of the Programmer Mode (e.g. modify file option) on the system. This audit must be initiated to collect data; Server- Logs instances of use of designated server options. This audit must be initiated to collect data. Additionally, servers, by default send bulletins concerning server activity to appropriate personnel via mail messages ( VISTA System Manager, ISO); VA Fileman- provides two types of audit: Data Audit- this audit records changes made to the data in a file. Data Dictionary Audit- This audit records changes made to the attribute for structure of the file. When specific events occur on VISTA System, a bulletin is sent to the designated staff members such as the ISO or other designated staff when a certain event occurs. The ISO receives Sensitive Record Access Bulletin/Log when a record with a designated Security Level is accessed or when the sensitivity is removed. The ISO reviews the Sensitive Record Access Audit Log/Bulletin to determine if any access appear suspect, if suspect ISO contact the Service Chief/Service Line Manager to determine the appropriateness of access, if Service Chief/Service Line Manager deems access inappropriate then appropriate sanctions/disciplinary actions may be exercise as direct by guidance provided by Human Resources and Senior Management. User access to the VISTA System is audited quarterly to ensure it is allocated for the current job function and on the "need to know" basis.

**8.1.c) Is adequate physical security in place to protect against unauthorized access?**

Yes



## 8.2 Project-Specific Security Measures

8.2.a) Provide a specific description of how collected information will be secured.

- A concise description of how data will be protected against unauthorized access, unauthorized modification, and how the availability of the system will be protected.

- A concise description of the administrative controls (Security Plans, Rules of Behavior, Procedures for establishing user accounts, etc.).

- A concise description of the technical controls (Access Controls, Intrusion Detection, etc.) that will be in place to safeguard the information.

- Describe any types of controls that may be in place to ensure that information is used in accordance with the above described uses. For example, are audit logs regularly reviewed to ensure appropriate use of information? Are strict disciplinary programs in place if an individual is found to be inappropriately using the information?

**Note: Administrative and technical safeguards must be specific to the system covered by the PIA, rather than an overall description of how the VA's network is secured. Does the project/system have its own security controls, independent of the VA network? If so, describe these controls.**

VA Handbook 6500, Information Security Program, dated September 18, 2007 provides specific procedures and establish operational requirements to ensure Department-wide compliance with the Federal Security Management Act of 2002 (FISMA) and NIST 800-53 Operational, Management and Technical Security Controls.

The VISTA System is a national legacy system and has implemented the required security controls to secure collected information to include but not limited to: the use of passwords, verify codes, user identification and authentication, background investigations, users signing the National Rules of Behavior, physical security controls (locking file cabinets/desk drawers, clear desk of sensitive information, lock/log off computers when unattended, privacy screens, locks, secure areas, ID badges, VA Police patrols), configuration management, menus and associate security keys, background checks, audit logs, password management (user changes password every 90 days, strong passwords), termination of separated user accounts, physical security walk-thrus, designated information security officer and privacy officer, users are required completion of mandatory cyber security awareness training and privacy training annually by users with access to information and information systems, access to information is provided on a "need to know" basis for job function, quarterly reviews of user menus, and incident response and handling capabilities. All these security controls are continuously monitored, tracked and updated thru the FISMA/SMART Database at least annually as required.

8.2.b) Explain how the project meets IT security requirements and procedures required by federal law.

VA OI&T is responsible for the establishment of directives, policies, procedures which are consistent with the provisions of FISMA as well as guidance issued by OMB, NIST, and other requirements that VISTA Legacy System is subject to.

8.2.c) Explain what security risks were identified in the security risk assessment.

None

8.2.d) Explain what security controls are being used to mitigate these risks.

None

		<b>SECTION INCOMPLETE</b>
	X	<b>SECTION COMPLETED</b>
		I have completed and reviewed my responses in this section.
**	<b>NOTE:</b>	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		<b>Section Update Date</b>

#### Section 8 Review:

		<b>PRIVACY SERVICE SECTION REVIEW AND APPROVAL</b>
		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	x	The Privacy Service has reviewed and approved the responses in this section.
**	<b>NOTE:</b>	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit
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		<b>Section Review Date:</b> February 27, 2008

PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)

Yvette H. Sanders (910-822-7019)

#### 9. CHANGE RECORD

OMB Memorandum M-03-22, OMB Guidance for Implementing the Privacy Provisions of the E-Government Act of 2002, mandates that PIAs address any project/ system changes that potentially create new privacy risks. By completing this section, you provide documented assurance that significant project/ system modifications have been appropriately evaluated for privacy-related impacts.

9.a Since the last PIA submitted, have any significant changes been made to the system that might impact the privacy of people whose information is retained on project systems? (Yes, No, n/a: first PIA)

No, first PIA at Fayetteville, NC VAMC

**If no, then proceed to Section 10, "Children's Online Privacy Protection Act."**

**If yes, then please complete the information in the table below. List each significant change on a separate row. 'Significant changes' may include:**

*Conversions - when converting paper-based records to electronic systems;*

*Anonymous to Non-Anonymous - when functions applied to an existing information collection change anonymous information into information in identifiable form;*

*Significant System Management Changes - when new uses of an existing IT system, including application of new technologies, significantly change how information in identifiable form is managed in the system:*

*• For example, when an agency employs new relational database technologies or web-based processing to access multiple data stores; such additions could create a more open environment and avenues for exposure of data that previously did not exist.*

*Significant Merging - when agencies adopt or alter business processes so that government databases holding information in identifiable form are merged, centralized, matched with other databases or otherwise significantly manipulated:*

*• For example, when databases are merged to create one central source of information; such a link may aggregate data in ways that create privacy concerns not previously at issue.*

*New Public Access - when user-authenticating technology (e.g., password, digital certificate, biometric) is newly applied to an electronic information system accessed by members of the public;*

*Commercial Sources - when agencies systematically incorporate into existing information systems databases of information in identifiable form purchased or obtained from commercial or public sources. (Merely querying such a source on an ad hoc basis using existing technology does not trigger the PIA requirement);*

*New Interagency Uses - when agencies work together on shared functions involving significant new uses or exchanges of information in identifiable form, such as the cross-cutting E-Government initiatives; in such cases, the lead agency should prepare the PIA;*

*Internal Flow or Collection - when alteration of a business process results in significant new uses or disclosures of information or incorporation into the system of additional items of information in identifiable form:*

*• For example, agencies that participate in E-Gov initiatives could see major changes in how they conduct business internally or collect information, as a result of new business processes or E-Gov requirements. In most cases the focus will be on integration of common processes and supporting data. Any business change that results in substantial new requirements for information in identifiable form could warrant examination of privacy issues.*

*Alteration in Character of Data - when new information in identifiable form added to a collection raises the risks to personal privacy (for example, the addition of health or financial information);*

List All Major Project/System Modification(s)	State Justification for Modification(s)	*Concisely describe:	Modification Approver	Date

\* The effect of the modification on the privacy of collected personal information

\* How any adverse effects on the privacy of collected information were mitigated.

		<b>SECTION INCOMPLETE</b>
	X	<b>SECTION COMPLETE</b>
		I have completed and reviewed my responses in this section.
**	<b>NOTE:</b>	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		<b>Section Update Date</b>

#### Section 9 Review:

		<b>PRIVACY SERVICE SECTION REVIEW AND APPROVAL</b>
		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	x	The Privacy Service has reviewed and approved the responses in this section.
**	<b>NOTE:</b>	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit
		and then select "Yes" and submit again.
		<b>Section Review Date:</b> February 27, 2008

PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)

Yvette H. Sanders (910-822-7019)

#### 10. CHILDREN'S ONLINE PRIVACY PROTECTION ACT

10.a) Will information be collected through the Internet from children under age 13?

No

**If "No" then SKIP to Section 11, "PIA Considerations".**

10.b) How will parental or guardian approval be obtained.

ADDITIONAL INFORMATION: (Provide any necessary clarifying information or additional explanation for this section.)

		<b>SECTION INCOMPLETE</b>
	X	<b>SECTION COMPLETED</b>
		I have completed and reviewed my responses in this section.
**	<b>NOTE:</b>	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		<b>Section Update Date</b>

Section 10 Review:		
		<b>PRIVACY SERVICE SECTION REVIEW AND APPROVAL</b>
		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	x	The Privacy Service has reviewed and approved the responses in this section.
**	<b>NOTE:</b>	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit
		and then select "Yes" and submit again.
		<b>Section Review Date:</b> February 27, 2008
PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)		
Yvette H. Sanders (910-822-7019)		

11. PIA Assessment	
11a) Identify what choices were made regarding the project/system or collection of information as a result of performing the PIA. Examples of choices made include reconsideration of: collection source, collection methods, controls to mitigate misuse of information, provision of consent and privacy notice, and security controls.	
Vista Legacy is a national level system and is governed by existing policies and procedures.	
11b) What auditing measures and technical safeguards are in place to prevent misuse of data?	
Access codes, verify codes, audits of records accessed, weekly privacy/security rounds, review of menu options.	
11c) Availability assessment: If the data being collected is not available to process for any reason what will the potential impact be upon the system or organization?	
Yes	The potential impact is <u>high</u> if the loss of availability could be expected to have a severe or catastrophic adverse effect on operations, assets, or individuals.
No	The potential impact is <u>moderate</u> if the loss of availability could be expected to have a serious adverse effect on operations, assets, or individuals.
No	The potential impact is <u>low</u> if the loss of availability could be expected to have a limited adverse effect on organizational operations, organizational assets, or

		individuals.
11d) Integrity assessment: If the data being collected has been corrupted for any reason what will the potential impact be upon the system or organization?		
	Yes	The potential impact is <u>high</u> if the loss of integrity could be expected to have a severe or catastrophic adverse effect on operations, assets, or individuals.
	No	The potential impact is <u>moderate</u> if the loss of integrity could be expected to have a serious adverse effect on operations, assets, or individuals.
	No	The potential impact is <u>low</u> if the loss of integrity could be expected to have a limited adverse effect on organizational operations, organizational assets, or individuals.
11e) Confidentiality assessment: If the data being collected has been shared with unauthorized individuals what will the potential impact be upon the system or organization?		
	Yes	The potential impact is <u>high</u> if the loss of confidentiality could be expected to have a severe or catastrophic adverse effect on operations, assets, or individuals.
	No	The potential impact is <u>moderate</u> if the loss of confidentiality could be expected to have a serious adverse effect on operations, assets, or individuals.
	No	The potential impact is <u>low</u> if the loss of confidentiality could be expected to have a limited adverse effect on organizational operations, organizational assets, or individuals.
11f) What was the highest impact from questions 11c, 11d, and 11e?		
The potential impact of breach of Confidentiality, Integrity, and availability of information in the VISTA System is High.		
11g) What controls are being considered for this impact level?		
NIST 800-53 Security Control are implemented and required as directed in VA Handbook/Directive 6500		
ADDITIONAL INFORMATION: (Provide any necessary clarifying information or additional explanation for this section.)		

		SECTION INCOMPLETE
	X	SECTION COMPLETED
		I have completed and reviewed my responses in this section.
**	NOTE:	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		Section Update Date

**Section 11 Review:**

		<b>PRIVACY SERVICE SECTION REVIEW AND APPROVAL</b>
		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	x	The Privacy Service has reviewed and approved the responses in this section.
**	<b>NOTE:</b>	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit
		and then select "Yes" and submit again.
		<b>Section Review Date:</b> February 27, 2008

PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)

Yvette H. Sanders (910-822-7019)

**12. PUBLIC AVAILABILITY**

*The Electronic Government Act of 2002 requires that VA make this PIA available to the public. This section is intended to provide documented assurance that the PIA is reviewed for any potentially sensitive information that should be removed from the version of the PIA that is made available to the public.*

*The following guidance is excerpted from M-03-22, "OMB Guidance for Implementing the Privacy Provisions of the E-Government Act of 2002," Section II.C.3, "Review and Publication": iii. Agencies must ensure that the PIA document and, if prepared, summary, are made publicly available (consistent with executive branch policy on the release of information about systems for which funding is proposed).*

*1. Agencies may determine to not make the PIA document or summary publicly available to the extent that publication would raise security concerns, reveal classified (i.e., national security) information or sensitive information (e.g., potentially damaging to a national interest, law enforcement effort or competitive business interest) contained in an assessment<sup>9</sup>. Such information shall be protected and handled consistent with the Freedom of Information Act (FOIA).*

*2. Agencies should not include information in identifiable form in their privacy impact assessments, as there is no need for the PIA to include such information. Thus, agencies may not seek to avoid making the PIA publicly available on these grounds.*

**12.a) Does this PIA contain any sensitive information that could cause harm to the Department of Veterans Affairs or any party if disclosed to the public?**

No

**12.b) If yes, specify:**

**ADDITIONAL INFORMATION:** (Provide any necessary clarifying information or additional explanation for this section.)

		<b>SECTION INCOMPLETE</b>
	X	<b>SECTION COMPLETED</b>
		I have completed and reviewed my responses in this section.
**	<b>NOTE:</b>	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		<b>Section Update Date</b>

### Section 12 Review:

		<b>PRIVACY SERVICE SECTION REVIEW AND APPROVAL</b>
		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	x	The Privacy Service has reviewed and approved the responses in this section.
**	<b>NOTE:</b>	If you are resubmitting your REVIEW or if you already have an YES, then first select "NO Value" and submit
		and then select "Yes" and submit again.
		<b>Section Review Date:</b> February 27, 2008

PRIVACY SERVICE COMMENTS: (Include reviewers Name and Contact)

Yvette H. Sanders (910-822-7019)

### 13. ACCEPTANCE OF RESPONSIBILITY AND ACKNOWLEDGEMENT OF ACCOUNTABILITY:

13.1) I have carefully reviewed the responses to each of the questions in this PIA. I am responsible for funding and procuring, developing, and integrating privacy and security controls into the project. I understand that integrating privacy and security considerations into the project may affect the development time and cost of this project and must be planned for accordingly. I will ensure that VA privacy and information security policies, guidelines, and procedures are followed in the development, integration, and, if applicable, the operation and maintenance of this application.

13.2) Project Manager/Owner Name and Date (mm/dd/yyyy)

Michael E. Lay 02/13/2008

ADDITIONAL INFORMATION: (Provide any necessary clarifying information or additional explanation for this section.)



		<b>SECTION INCOMPLETE</b>
	X	<b>SECTION COMPLETED</b>
		I have completed and reviewed my responses in this section.
**	<b>NOTE:</b>	If you are resubmitting your updates, first select "NO Value" from the dropdown and submit and then select "Yes" and submit again.
		<b>Section Update Date</b>

<b>Section 13 Review:</b>		
		<b>PRIVACY SERVICE SECTION REVIEW AND APPROVAL</b>
		The Privacy Service has not reviewed this section.
		The Privacy Service has reviewed this section. Please make the modifications described below.
	x	The Privacy Service has reviewed and approved the responses in this section.
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		and then select "Yes" and submit again.
		<b>Section Review Date:</b> February 27, 2008
<b>PRIVACY SERVICE COMMENTS:</b> (Include reviewers Name and Contact)		
Yvette H. Sanders (910-822-7019)		